



Senior Executive Service Rotational Program Policy Handbook 660.1

U.S. Department of Housing and Urban Development (HUD)
Office of the Chief Human Capital Officer (OCHCO)
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Chapter 1. General Provisions

1.1. Purpose

This document provides policy and procedures involving learning enrichment for Senior Executives under the HUD Senior Executive Rotational Program (SERP), which is a career developmental program. Under the SERP, an executive temporarily rotates to another office to gain knowledge and to develop skills, while performing special tasks, projects, and/or temporarily filling a vacant position. The SERP provides an excellent means for HUD federal agency, institution of higher learning, state or local government, or private sector organization executives to develop and refine their knowledge, skills, and abilities through work in other programs and different types of experiences to facilitate the development of their competencies for the benefit of the Department and our workforce. If an office is experiencing a shortage in a particular skill or is in need of extra support in order to produce a specific product or provide a specific service, this program may be used as a tool to temporarily increase that office's capacity as long as the learning and development of the employee remains the primary objective of the assignment.

In provision of the White House Executive Order (EO) on Strengthening the Senior Executive Service, dated December 15, 2015, section (v) states that by May 31, 2016, the heads of agencies with 20 or more SES positions shall develop and submit to OPM a 2-year plan to increase the number of SES members who are rotating to improve talent development, mission delivery, and collaboration. While agency-specific targets will not be required, this order establishes a Government-wide goal of 15 percent of SES members rotating for a minimum of 120 days (including to different departments, agencies, subcomponents, functional areas, sectors, and non-federal partners) during FY 2017, and thereafter, in order to ensure the mobility of the corps while also maintaining stability of operations.

1.2. Policy

- A. It is the Department's policy that, in a continued effort to educate, retain, and provide developmental opportunities for Senior Executives, the HUD SERP will benefit our Senior Executives by providing opportunities for professional growth and development.
- B. HUD's Senior Executives who participate in the SERP will gain the opportunity to develop skills and competencies from work experience and learning exercises gained from challenging rotational assignments.

- C. The use of rotational assignments provides a dual advantage by providing developmental opportunities to our Senior Executives, while providing the gaining organization with executive leadership to resolve complex policy and operational problems.

1.3. Scope

This policy is applicable to all HUD SES and SL members within the Department.

1.4. References

- A. 5 USC §4109, *Expenses of Training*
- B. 5 USC §4118, *(Training) Regulations*
- C. 5 CFR §300.301, (Detail) Authority
- D. 5 CFR §410.203, Options for Developing Senior Executives
- E. 5 CFR §412, *Supervisory, Management, and Executive Development*
- F. HUD Handbook 625.1, *Telework Policy*
- G. Executive Order - *Strengthening the Senior Executive Service*, dated – December 15, 2015
- H. Office of Personnel Management Guidance – “*Executive Order Guidance – Strengthening the Senior Executive Service: Implementing the Executive Rotations Requirement*” dated – Jan 29, 2016

1.5. Definitions

The definitions provide meanings for topics as they are to be interpreted in the context of this policy:

- A. **Coach.** A Coach is responsible for providing support and technical assistance to the SERP participant while he/she is on rotation. Coaches provide on-the-job-training and shadowing opportunities to the participant to help them learn key aspects of tasks and/or projects. Coaches also provide feedback to the Host Supervisors and, if appropriate, to the Senior Executives regarding developmental progress and recommended improvements.
- B. **Executive Development Plan (EDP).** The Executive Development Plan is meant to serve as the "blueprint" for all short-term and long-term developmental activities which will enhance an executive's performance. Developmental activities, whether participating in a rotational assignment, taking a course, or reading a book, should develop a broader perspective and deeper knowledge of the agency and Federal government. Plans should be updated periodically

- C. **Organization.** An organization is defined as an office, division, or branch within or outside of a Program Office (e.g., Public and Indian Housing, Office of the Chief Information Officer, Field Policy and Management, etc.).
1. *Home Organization.* The organization where the Senior Executive's permanent position of record is located.
 2. *Host Organization.* The organization where the Senior Executive is performing the rotational assignment.
- D. **Rotational Assignment.** A rotational assignment is a detail to another position or work to broaden the employee's knowledge of different operations and working environments. Temporary assignments in this program are typically for 60 to 120 calendar days.
- E. **Supervisor.**
1. *Home Supervisor.* The employee's first line supervisor of record.
 2. *Host Supervisor.* The designated rotational program office official in the host organization who monitors, supervises, and evaluates the performance of assigned or delegated duties and learning exercises during the duration of the rotational assignment.

Chapter 2. Roles and Responsibilities

2.1. Office of the Chief Human Capital Officer (OCHCO)

- A. The Chief Human Capital Officer, or designee, is responsible for the administration of this policy. Approval to deviate from this policy must be obtained from the Chief Human Capital Officer or designee.
- B. The Chief Learning Officer (CLO), or designee, is responsible for:
 - 1. Designating a HUD SERP Manager;
 - 2. Denying any employee for a rotational assignment; and
 - 3. Providing a written justification for each denial.
- C. The HUD SERP Manager is responsible for:
 - 1. Ensuring this policy is implemented consistently throughout HUD and is communicated to senior management;
 - 2. Reviewing and evaluating individual requests from program offices to ensure they meet all of the requirements of this Handbook;
 - 3. Maintaining the SERP internet sites (such as webpages and SharePoint);
 - 4. Notifying the employee and advising the Host Organization to enter a Personnel Action Request (PAR), if the assignment is more than 30 days, and performance plans, if the assignment will exceed 89 days, for inclusion in the employee's electronic Official Personnel File; and
 - 5. Maintaining records and reports of all activity associated with the program.
- D. The Office of Executive Resources, or designee, is responsible for:
 - 1. Assisting in the marketing of this program by ensuring executives are aware of this option when temporary or permanent resources are needed;
 - 2. Assisting the HUD SERP Manager in determining SERP applicant eligibility, as requested; and
 - 3. Reviewing the PAR to ensure there is no violation of the requirements stipulated in this policy or merit system principles.
- E. Executive Resource Board
 - 1. Reviewing rotational assignment applications and ensuring criteria are fulfilled in determining the eligibility of candidates;
 - 2. Preparing the listing of candidates and forwarding it to the Host Organization;
 - 3. Upon selection, obtaining approval from the Home Organization and coordinating the effective and not-to-exceed date for the rotational assignment.

2.2. Program Offices

- A. The Assistant Secretary (AS) or General Deputy Assistant Secretary (GDAS), or equivalent, of each program area (e.g., Housing, Public and Indian Housing, Community Planning and Development, etc.) is responsible for:
 - 1. Encouraging appropriate use of this program by his/her senior executives in the various Program Office within HUD;
 - 2. Monitoring its use for consistency with the Program Area's human capital strategies, strategic plans, and organizational goals;
 - 3. Approving/Denying SERP assignment applications that require temporary duty (TDY) funding.

- B. The Host Organization selecting official and/or Host Supervisor is responsible for:
 - 1. Submitting the appropriate information on the SERP website for the advertisement of any rotational assignment, including a statement of work, if required;
 - 2. Reviewing applications and conducting interviews promptly, as appropriate;
 - 3. Ensuring the executive has adequate work space and the tools necessary to perform the duties of the assignment;
 - 4. Submitting a PAR for rotations 30 days and greater;
 - 5. Preparing performance plans for rotations 90 days or longer;
 - 6. Ensuring sufficient work is available and the employee is assigned and performing work as described in the position description or the statement of work;
 - 7. Ensuring that the appropriate training to perform the duties of the assignment is provided;
 - 8. Assigning a Host Coach to provide technical assistance and support to the executive to monitor learning objectives, performance proficiency, and areas for ongoing improvement;
 - 9. Providing guidance and oversight of the executive; and
 - 10. Rating the executive or providing feedback to the executive's Home Office supervisor based on duration of rotational assignment.

- C. The Home Organization official and/or Home Supervisor is responsible for:
 - 1. Encouraging Senior Executives to participate in this program, when feasible;
 - 2. Providing written justification of any declinations to the SERP Manager;
 - 3. Developing an Executive Development Plan (EDP) and the SF-182, Authorization, Agreement, for each position prior to the employee applying for the rotation opportunity;

4. Taking into consideration feedback provided by a Host Organization for a participant's performance appraisal; and
5. Informing senior leadership within their program office of all approved rotations.

D. Senior Executives are:

1. Encouraged to discuss their interest in applying for the SERP with their supervisor, as approval will be required in order to apply for a developmental rotational opportunity;
2. Responsible for seeking SERP opportunities to enhance their competencies and skill levels and secondarily contribute their talent or technical expertise to help address departmental work needs;
3. Required to submit all required documentation (EDP and SF-182) in applying for the SERP to the designated representative;
4. Required to perform rotational work assignments to the best of their ability and to conduct themselves in a professional manner.

E. Deputy Secretary is responsible for:

1. Reviewing the ERBs decisions,
2. Final approval of Board's decisions;
3. Signing off on SES rotational assignments.

F. Office of General Counsel

The Office of General Counsel is responsible for reviewing all assignments for potential conflicts of interest or other ethics issues and for providing advice to participants on the application of the ethics standards, including HUD's standard of conduct regulation, that will apply to them during their assignments.

Chapter 3. Program Requirements

3.1. Overview

Participation by Senior Executives, and release by the Home Supervisor, is completely voluntary. Senior Executives are not entitled to selection for, or participation in, this program. However, all selections, non-selections and/or the home supervisor's decisions not to approve participation requests must be made solely on job-related and/or organizational need criteria, such as office coverage, staffing shortages, and workload constraints. Decisions may not be based on political affiliation or non-affiliation; labor organization affiliation or non-affiliation; age, disability, marital status; genetic information: race; color; religion; gender-identity; sexual orientation; sex; national origin; and will be based solely on job-related criteria.

3.2. Type of Work and Assignments

- A. The SERP assignment may be to a vacant position, a position for which the duties have not yet been classified (unclassified duties) or to perform short-term special projects. However, if the assignment is one of unclassified duties or a short-term special project or initiative, a "Statement of Work" must be prepared. This statement should include:
1. Purpose: Why are we doing this rotational assignment or project?
 2. Scope of Work: This describes the type of work that will to be performed and level of responsibility.
 3. Specific Duties and Responsibilities: This does not need to be an all-inclusive list, but should give insight to the type of duties that will be required.
 4. Learning Objectives: A statement of what the learner is expected to accomplish or acquire as a result of the learning experience. Objectives are measurable and delineate the content, conditions, and criteria to be used to demonstrate mastery of the objective.
 5. Types of rotations can be:
 - Executive temporary reassignment
 - Developmental assignment internal to the Department, for example, to another program office, functional area, or location (e.g., acting in another executive position, field executive rotating to HQ or vice versa)
 - Rotational or developmental assignment external to the agency (e.g., Intergovernmental Personnel Act (IPA) program; temporary assignment/rotation to another Federal agency or private sector where permitted by law)

- An assignment that includes full-time, extended service on a multi-agency or joint taskforce or project team that may provide employees with sufficient interagency experience to qualify as a rotation: and
- Sabbatical.

3.3. Length and Provisions of Assignments

- A. The length of a rotational assignment may be up to 6 months.
- B. Rotational assignments must be a minimum period of 120 days.
- C. Rotations may take place within the department, at other federal agencies, or at an approved private sector organization.

3.4. Eligibility

Senior Executives ineligible to participate in the SERP are:

1. Senior Executives serving under Schedule C (Political Appointee)
2. Individuals serving less than 2 years in the SES core or pending disciplinary action; and
3. Individuals employed with the Department for less than six months from the date of their application submission.

3.5. Qualifications Requirements

The assignments given under this program should include challenging and rewarding work, which will enhance the Senior Executive's executive core competencies and knowledge and skills. However, the Senior Executive must be qualified to perform the work and be able to master the knowledge, skills, and abilities necessary to perform the assignment.

3.6. Employee and Work Location

- A. Rotational assignments are not limited to the duty station of the executive.
- B. In rare and unusual circumstances, the Host Organization may request to broaden its search, with the approval of the Assistant Secretary, General Deputy Secretary, or equivalent. The approved written justification must be submitted to the CLO. If an expanded search is approved, the Host Organization of the selected employee is responsible for all travel and per diem expenses related to the SERP assignment.

- C. Candidates for a SERP assignment outside of their commuting area must obtain, in addition to their supervisor's approval, the approval of their program office's Assistant Secretary, GDAS, or equivalent, prior to submitting their application packet. This approval acknowledges that the home program office agrees to pay the travel and per diem expenses related to the SERP assignment.
- D. Senior Executives will not be permitted to personally pay for travel and/or per diem expenses for SERP opportunities that are located outside their commuting area.
- E. In situations where the nature of the work may be performed from a remote location, it is permissible to allow an employee to remain in his/her duty station. However, the following should be considered:
 - 1. Supervisory Controls
 - 2. Work Space
 - a) Should the Senior Executive's Home Organization plan to temporarily fill the position of the executive, it must be able to accommodate both the executive and the workspace.
 - b) Under these circumstances, caution must be exercised to ensure the SERP executive is completely freed from the duties of his/her position of record.
 - 3. Under normal circumstances, the executive should be working from a workstation located in the Host Organization's space during the rotation. The Host Organization is responsible for ensuring the employee has adequate workspace and the tools necessary to perform the duties of the assignment.

Chapter 4. Program Administration

4.1. Requests, Application, and Documentation Procedures

- A. The Host Organization will prepare an advertisement using the templates on the SERP SharePoint site. This information will include:
 - 1. The title, series and grade of the position and/or identify the special project or assignment.
 - 2. A brief synopsis of the types of duties to be performed.
 - 3. The skills set, experience, and/or knowledge sought.
 - 4. The learning opportunities afforded through performance in the Host Organization.
 - 5. Length of the assignment.
 - 6. The opening and closing dates of the announcement.
- B. The selecting official may choose to keep the announcement open until a selection is made and may review applications intermittently until a selection is made.
- C. An announcement may be cancelled at any time.
- D. Senior Executives interested in the advertised SERP opportunity will be required to electronically submit an application and other required documentation, including:
 - 1. An EDP signed by the Home supervisor. If the assignment is outside of the local commuting area, the employee must also obtain approval from the home program office and the CFO; and
 - 2. A copy of the most recent official summary rating.
- E. SERP application packets must include all required signatures, information, and necessary documents. Senior Executives who submit incomplete applications will not be considered.

4.2. Selection Process

- A. All candidates will be considered without discrimination for any non-merit reason, such as political affiliation or non-affiliation; labor organization affiliation or non-affiliation; age, disability, marital status; genetic information; race; color; religion; gender-identity; sexual orientation; sex; national origin; and will be based solely on job-related criteria.
- B. The CLO, or designee, will review the applications to ensure Senior Executives' eligibility.

- C. All eligible applications will be forwarded to the selecting official in the Host Organization for consideration.
- D. While interviewing is not required, the selecting official is encouraged to interview those candidates who possess the skill set that is most suitable for the assignment. Not all applicants must be interviewed.
- E. Once a selection is made, notification to both the selected and non-selected Senior Executives will be made by email.

4.3. Documentation Required

- A. Prior to starting the assignment, the hosting organization and selectee will meet to complete a SERP Agreement documenting the developmental and performance objectives of the assignment and the developmental activities that will be performed to meet the developmental objectives.
- B. The EDP must be signed by the employee, the Host Supervisor, Home Supervisor, and the CLO (OCHCO).
- C. During the rotation, if the Host Organization, Host Organization, or employee has issues or concerns, the issues must be documented to the HUD SERP designee immediately.
- D. The following must be submitted to the designated host organization representative before the rotation may begin:
 - 1. A completed SF-182 form.
 - 2. Email confirmation showing a rotational action has been completed and sent to the Office of Executive Resources.
 - 3. A properly completed and executed SERP Agreement. Any revisions to the Agreement must be agreed upon in writing by the Host Organization designee, home supervisor and executive and finalized by the official start date.

4.4. Effective Dates

All rotations must start at the beginning of a pay period and end at the end of a pay period.

Chapter 5. Administrative Information

5.1. Salary and Benefits

- A. The executive participant will continue to receive pay and benefits at the same grade and step as his/her position of record for the duration of the rotational period.
- B. In the rare instance when a SERP assignment is approved to another duty location, the executive participant will be placed on temporary duty (TDY) and will continue to receive the pay rate of his/her position of record. The participant's salary will not be impacted by differences in locality pay, if applicable. All travel and per diem expenses will be paid by the home program office.
- C. The executive participant's salary and benefits will continue to be paid by the Home Organization as permitted by 5 U.S.C. 4109(a) (1).

5.2. Timekeeping and Leave

- A. The executive will continue to record his/her time in WebTV. The Home Supervisor will continue to certify time. Time and attendance issues should be discussed between the Host and Home supervisor.
- B. Annual and sick leave requests should be coordinated with both the Host and Home supervisor. Once concurrence from both supervisors is received, the executive will submit the leave request in WebTV and the home supervisor will approve.
- C. If the rotation is greater than 120 days, the Host Supervisor may validate the SERP participants' time in WebTV, at the discretion of the Home supervisor.
- D. The executive is responsible for contacting both the Home and Host Supervisors when requesting unscheduled leave, such as sick leave.

5.3. Hours of Duty

Each office has different needs and work schedule requirements. While Host Supervisors are encouraged to exercise as much flexibility as possible, work schedules are at the discretion of the Host Supervisor. SERP applicants are encouraged to discuss this with the Host Supervisor, prior to accepting the rotational assignment

5.4. Telework

- A. Senior Executives currently under a telework agreement may have to suspend some, or all, of their participation while in this developmental program. In compliance with the Telework Policy, HUD Handbook 625.1, Senior Executives in training positions may only telework 1 day per week, provided:
 - 1. The Host Supervisor has approved the telework day.
 - 2. The Host Organization’s Assistant Secretary (or equivalent) has approved the telework day.
 - 3. The executive reports to the office a minimum of 4 days per week.
- B. If the employee is on a compressed work schedule, adjustments may be needed to ensure the executive reports to the office a minimum of 4 days per week.
- C. The telework program does not impede the progression or the ability of the executive to complete all of the requirements of his/her training program.
- D. Exceptions to the above stipulations may be made at the discretion of the Host Supervisor for emergency/situational telework in cases where the “Telework Option” is declared due to inclement weather. Additionally, if the office is closed due to inclement weather or other emergency situation, and if it is feasible and there is work that can be done from the remote location, the executive is required to work, even if it is not a scheduled telework day.
- E. Senior Executives that do not currently work under a telework agreement may not telework for any period (even the 1 day). A Host Supervisor does not have the authority to approve a telework agreement, even for the period of the rotation.
- F. If the Host Supervisor and the Host Assistant Secretary agree to allow telework, the Telework Agreement must be completed and APPROVED by the Home Supervisor.

5.5. Performance Appraisals

- A. An executive must receive a performance plan for a rotation and/or other temporary assignment which is expected to last at least 90 days. A written performance plan must be communicated within the first 30 days, or as soon as possible, after the beginning of the rotational assignment.

- B. A Senior Executives who, during the rating cycle, has spent at least 90 days in his/her position of record AND at least 90 days on the SERP assignment and, has otherwise worked under a performance plan for the minimum time:
 - 1. Will be rated on:
 - a) Each critical element of position of record by his/her Home Supervisor; AND
 - b) Each critical element of the SERP assignment by the Host Supervisor.
 - 2. The Home Supervisor will compile the element ratings; convert the element ratings into a summary rating; conduct the performance review; and enter the executive's rating in the electronic performance appraisal system.
 - 3. The Host Supervisor will compile the element ratings; convert the element ratings into a summary rating; conduct the performance review; and enter the executive's rating in the electronic performance appraisal system when:
 - a) he or she has supervised the executive for at least 90 days (with the executive working under elements and standards for the minimum time); and
 - b) he or she is still supervising the executive at the time of the performance review is conducted.
- C. An executive who, during the rating cycle, has spent at least 90 days in his/her position of record and less than 90 days in the SERP assignment will be rated on the critical elements of the position of record only. The Home Supervisor will conduct the performance review and enter the executive's rating in the electronic performance system.

Chapter 6. Program Completion

6.1. Assignment Close Out

- A. As the rotational assignment concludes, the Host Supervisor is required to meet with the executive to discuss his/her performance during the developmental assignment. The meeting will occur:
 - 1. For assignments 120 days or shorter, within 5 days prior to the end of the rotational assignment; or
 - 2. For assignments longer than 120 days, within two weeks prior to the end date of the rotational assignment.
- B. As each rotational assignment is successfully completed, it will be recorded in the executive's learning history (transcript) in the HUD Virtual University (HVU).
- C. HUD will ensure the executive's training record is exported to OPM's central database of training completions for all federal Senior Executives.

6.2. Assignment Evaluation

Both the executive participant and the Host Supervisor are required to complete three program evaluations, consistent with the evaluation of all training as determined by the HUD Learning, Enrichment, and Resource Network policy, designed to collect data on the effectiveness of the program and the transfer of learning that occurred as a result of participation in the program.

- A. The Level 1 evaluation of the rotational assignment will be completed at least two weeks prior to the targeted completion date.
- B. The Level II evaluation will be administered 3 months after the completion of the rotational assignment.
- C. The Level III evaluation will be administered 6 months after the completion of the rotational assignment.

Chapter 7. Accountability, Oversight, and Internal Controls


7.1. Development of Standard Operating Procedure

- A. The CLO and the HUD SERP Manager will develop operating procedures (to include an internal Quality Control Program) within 60 days of issuance of this policy, to ensure adherence to these provisions.
- B. Copies of the operating procedures will be provided to the OCHCO, Accountability Branch and the OCHCO, Policy Development Branch within 14 days of publishing, and as updated.

7.2. Accountability

- A. On a cyclical basis and/or as necessary, the OCHCO Accountability Branch will conduct reviews/audits of activities of the program. The reviews/audits will be conducted to ensure compliance with this policy and that the program is being executed in accordance with the merit system principles and applicable legal and administrative authorities.
- B. The CLO and the HUD SERP Manager must ensure required documentation is properly maintained and available for any subsequent audits/reviews from within or outside of the Department.

Appendix 1 Executive Development Plan

 <p>Executive Development Plan (EDP) for the Senior Executive Service (SES)</p>	
<p>The Executive Development Plan (EDP) serves as the “road map” for all short-term and long-term training and development activities which are intended to enhance an executive’s leadership skills, attributes, and performance. Plans should be reviewed and updated on a yearly basis between an individual or executive and his/her supervisor, with optional input of any applicable mentor or executive coach.</p>	
NAME	POSITION
ORGANIZATION (Bureau/Office)	
DEVELOPMENTAL OBJECTIVES	
EMPLOYEE – Signature	DATE
SUPERVISOR – Signature	DATE
MENTOR/EXECUTIVE COACH –Signature (OPTIONAL)	DATE
EXECUTIVE RESOURCES BOARD – Signature	DATE

DEVELOPMENTAL GOAL #1 –

Be sure your goals are SMART: S (Specific), M (Measurable), A (Achievable), R (Realistic), and T (Time-bound).

What is your goal? Why did you select this goal? To what extent will this goal help develop you and benefit your office/organization?

Developmental Activities	Competencies Addressed	Expected Completion Date	Progress	Expected Outcomes/Measures
	<i>What OPM ECQ are you addressing?</i>	<i>What is your target completion date for this activity?</i>	<i>How do you measure your progress for this activity?</i>	<i>How will you know that you were successful? How will you demonstrate your acquired competency? How can your supervisor validate that you have acquired the new competency?</i>
<p>1. Example: Developmental Assignment</p>				
<p>2. Example: Access to online resources</p>				
<p>3. Example: Represent Commerce on an agency-wide committee</p>				

DEVELOPMENTAL GOAL #2 -				
Developmental Activities	Competencies Addressed	Expected Completion Date	Progress	Expected Outcomes/Measures

DEVELOPMENTAL GOAL #3 -				
Developmental Activities	Competencies Addressed	Expected Completion Date	Progress	Expected Outcomes/Measures

